

TRANSFERS

Filing Requirements Checklist

(Applicable Authority: KRS 278.020(4) and (5) and 807 KAR 5:001, Section 8)

Case No. _____ Applicant Name _____ Received Date _____ Form Circulation Date _____

Instructions:

- 1) Each division noted by checkmark () is to complete its review and pass on within two days of receipt.
- 2) This form is to list only the specific filing deficiencies as identified in the regulations. If additional information is needed, an information request must be issued.
- 3) Staff member should use initials and list date review is completed.
- 4) Return to Docket Section following review by all divisions.

Reviewed by following Divisions:

Date

Staff Member

Divisions	Date	Staff Member
Filings		
Legal		

Division
Responsible

Law/Regulation

Filing Requirement

Requirement
Met

Waiver
Requested

Approve
Waiver?

Legal	807 KAR 5:020(4):	The names and qualifications of operating personnel, and any other evidence to show new owners have financial, technical, and managerial abilities to operate system, e.g., income tax records, financial statements, etc
Filings	KRS 278.020(5)	Application verified by oath or affirmation.
	807KAR 5:001:	
Filings	Section 8(1)	Full name and post office address of applicant and a reference to the particular provision of law requiring Commission approval.
Filings	Section 8(2)	The original and 10 copies of the application with an additional copy for any party named therein as an interested party.

Requirement Met		Waiver Requested	Approve Waiver?	
Yes	No		Yes	No

Division Responsible Law/Regulation Filing Requirement

Legal Section 8(3) If applicant is a corporation, a certified copy of the Articles of Incorporation and all amendments thereto or if the articles were filed with the PSC in a prior proceeding, a reference to the style and case number of the prior proceeding.

Requirement Met		Waiver Requested	Approve Waiver?	
Yes	No		Yes	No

The following is a checklist of items which are not required to be filed with an Application for Transfer but which ideally should be filed with an application in order to expedite the processing of the application:

- Legal 1. Signed Purchase/Sale Agreement, or at least some kind of reduction of the terms of the transfer to writing, e.g., a letter of understanding
- Legal 2. An adoption notice pursuant to 807 KAR 5:011, Section 11
- Legal 3. If a sewer, the buyer must have a 3rd party beneficiary agreement or other evidence of financial integrity deemed sufficient by the PSC.
